

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application: **Bahrs, et al.**

Serial No.: **09/430,814**

Filed: **October 29, 1999**

For: **Method and Apparatus in a Data  
Processing System For The Issuance And  
Delivery Of Lightweight Requests To  
Concurrent And Multiple Service  
Providers**



Group Art Unit: **2739**

Examiner: **Not Assigned**

Attorney Docket No.: **AUS990339US5**

**Certificate of Mailing Under 37 C.F.R. § 1.8(a)**

I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on January 5, 2000.

By: Stacey L. Bachmann

Stacey L. Bachmann

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

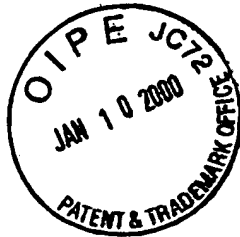
In response to the Notice to File Missing Parts dated December 15, 1999, it is believed that the Notice was generated in error. Enclosed is a copy of a USPTO stamped postcard indicating receipt of the complete application package and the original Oath and Declaration, with signatures of all inventors, as filed on October 29, 1999. Also enclosed is a copy of the Express Mail receipt as well as a copy of the original Transmittal indicating the incorporation of the Oath and Declaration in the application package.

No additional fees are believed to be necessary. However, in the event that any fees are required for the prosecution of this application, please charge any necessary fees to Deposit Account No. 50-0392. No extension of time is believed to be necessary. If,

however, an extension of time is needed, the extension is requested. Please charge the fee for this extension to Deposit Account No. 50-0392.

The examiner is invited to call the undersigned at the below-listed telephone number if in the opinion of the examiner such a telephone conference would expedite or aid the prosecution and examination of this application.

DATE: 1/5/00



Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Duke W. Yee", written over a horizontal line.

Duke W. Yee  
Reg. No. 34,285  
Carstens, Yee & Cahoon, LLP  
P.O. Box 802334  
Dallas, TX 75380  
(972) 367-2001  
Attorney for Applicant

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. **AUS990339US5**

First Inventor or Application Identifier **Peter C. Bahrs, et al.**

Title **See 1 in Addendum**

Express Mail Label No. **EL39287370 US**

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages **239**]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **136**]
4. Oath or Declaration [Total Pages **9**]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
    - i. ☒ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
8. ☒ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☒ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) ☐ Statement filed in prior application  
(PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Other: .....

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No: **09/366,404**  
Prior application information: Examiner **Unknown** Group / Art Unit: **2731**

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

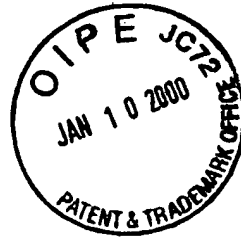
Name	Duke W. Yee				
	Carstens, Yee & Cahoon, LLP				
Address	PO Box 802334				
City	Dallas	State	TX	Zip Code	75380
Country	US	Telephone	(972) 367-2001	Fax	(972) 367-2002

Name (Print/Type)	Duke W. Yee	Registration No. (Attorney/Agent)	34,285
Signature	<i>Duke W. Yee</i>	Date	10/29/99

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

## Addendum

1. Method and Apparatus in a Data Processing System For The Issuance And Delivery Of Lightweight Requests To Concurrent And Multiple Service Providers



EL356873170US



\* EL 3 5 6 8 7 3 1 7 0 U S \*

POST OFFICE TO ADDRESSEE

SEE REVERSE SIDE FOR  
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PO ZIP Code 175440	Day of Delivery <input type="checkbox"/> Next <input type="checkbox"/> Second
Date In 10/29/97	Postage \$44.10
Time In 1:30 PM	Return Receipt Fee
Weight 4.1 lbs.	COD Fee
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Insurance Fee
Total Postage & Fees \$44.10	

CUSTOMER USE ONLY	
METHOD OF PAYMENT: Express Mail Corporate Acct. No.	<input type="checkbox"/> <b>WAIVER OF SIGNATURE</b> (Domestic Only): Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery.
Federal Agency Acct. No. or Postal Service Acct. No.	<input type="checkbox"/> <b>NO DELIVERY</b> <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday

FROM: (PLEASE PRINT)

PHONE

CARSTENS YEE & CAHOON LLP  
PO BOX 802334  
DALLAS TX 75380-2334

TO: (PLEASE PRINT)

PHONE

Assistant Commissioner Patents  
Box New App Fee  
Washington DC 20231

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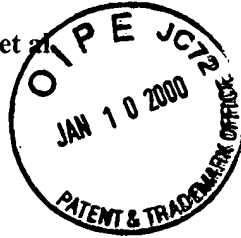
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Bahrs, et al**

Serial No.: 09/430,814

Filed: October 29, 1999

**For: Method and Apparatus in a Data  
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And Delivery Of Lightweight  
Requests To Concurrent And  
Multiple Service Providers**



§ Group Art Unit: 2739

§ Examiner: Not Assigned

§ Attorney Docket No.: AUS990339US5

Certificate of Mailing Under 37 C.F.R. § 1.8(a)

I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on

January 5, 2000

By:

*Stacey Bachmann*  
Stacey Bachmann

TRANSMITTAL DOCUMENT

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

## ENCLOSED HEREWITH:

1. Response to Notice to File Missing Parts (2 pages);
2. Copy of US PTO stamped postcard (1 page);
3. Signed Declaration and Power of Attorney (9 pages);
4. Notice to File Missing Parts (1 page);
5. Copy of Express Mail certificate (1 page);
6. Copy of original Transmittal (2 pages); and
7. Our return postcard.

No fees are believed to be necessary. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 50-0392.

No extension of time is believed to be necessary. If, however, an extension of time is required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 50-0392.

Respectfully submitted,

Duke W. Yee

Registration No. 34,285

CARSTENS YEE &amp; CAHOON, LLP

P.O. Box 802334

Dallas, Texas 75380

(972) 367-2001

ATTORNEY FOR APPLICANT



Received in the Patent and Trademark Office  
INVENTOR: Bahrs et al.  
TITLE: Method And Apparatus In A Data Processing System  
For The Issuance And Delivery Of Lightweight Requests To  
Concurrent And Multiple Service Providers

Enclosed:

1. PTO Form PTO/SB/05 (2 pages);
2. Transmittal ~~2~~ pages;
3. Deletion Of Persons Who Are Not Inventors (2 pages);
4. Preliminary amendment (3 pages);
5. Recordation Form Cover Sheet (1 page)
6. Specification (239 pages);
7. Drawings (136 pages);
8. Oath and Declaration copies (9 pages);
9. Assignment and recordation copies (7 pages);
10. Our return postcard

Client: IBM Corporation  
Serial No. Unknown  
Docket No. AUS990339US5 Mailed: October 28, 1999  
/dmn

Received in the Patent and Trademark Office  
INVENTOR: Bahrs et al.  
TITLE: Method And Apparatus In A Data Processing System  
For The Issuance And Delivery Of Lightweight Requests To  
Concurrent And Multiple Service Providers

Enclosed:

1. PTO Form PTO/SB/05 (2 pages);
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7. Drawings (136 pages);
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9. Assignment and recordation copies (7 pages);
10. Our return postcard

Client: IBM Corporation  
Serial No. Unknown  
Docket No. AUS990339US5 Mailed: October 28, 1999  
/dmn

Jc490 U.S. PTO  
09/430814



2739

*Revised*

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: **Bahrs, et al.**

§ Group Art Unit: **2739**

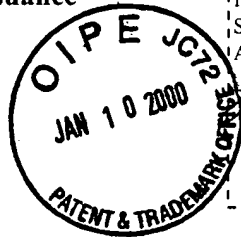
Serial No.: **09/430,814**

§  
§ Examiner: **Not Assigned**

Filed: **October 29, 1999**

§  
§ Attorney Docket No.: **AUS990339US5**

**For: Method and Apparatus in a Data  
Processing System For The Issuance  
And Delivery Of Lightweight  
Requests To Concurrent And  
Multiple Service Providers**



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*January 5, 2000*

By:

*Stacey Bachmann*  
Stacey Bachmann

**TRANSMITTAL DOCUMENT**

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

**ENCLOSED HEREWITH:**

1. Request for Corrected Filing Receipt (2 pages);
2. Copy of Filing Receipt (1 page); and
3. Our return postcard

No fees are believed to be necessary. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 50-0392.

No extension of time is believed to be necessary. If, however, an extension of time is required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 50-0392.

Respectfully submitted,

*Duke W. Yee*

Duke W. Yee

Registration No. 34,285

**CARSTENS YEE & CAHOON, LLP**

P.O. Box 802334

Dallas, Texas 75380

(972) 367-2001

**ATTORNEY FOR APPLICANT**

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**TC 2700 MAIL ROOM**



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Bahrs et al.**

Serial No.: **09/430,814**

Group No.: **2739**

Filed: **October 29, 1999**

Examiner: **Unknown**



For: **Method and Apparatus in a Data Processing System For The Issuance And Delivery Of Lightweight Requests To Concurrent And Multiple Service Providers**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

2. There is an error with respect to the following data, which is:

☐ incorrectly entered

and/or

☒ omitted.

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20231.

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Trademark Office.

Date: 1-5-00

Signature

Stacey Bachmann  
(type or print name of person certifying)

*Error in*

1. ☐ Applicant's name
2. ☐ Applicant's address
3. ☒ Title
4. ☐ Filing Date
5. ☐ Serial Number
6. ☐ Foreign/PCT Application Re:
7. ☒ Other

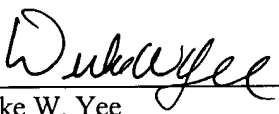


*Correct data*

- 1.
- 2.
3. Method And Apparatus In A Data Processing System For The Issuance And Delivery Of Lightweight Requests To Concurrent And Multiple Service Providers
- 4.
- 5.
- 6.
7. Continuing data as claimed by applicant:  
This application is a divisional of 09/366,404  
filed 08/03/99

3. The correction(s) is/are not due to any error by applicant and no fee is due.

No fees are believed to be necessary at this time. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to IBM Corporation Deposit Account No. 09-0447. If any over payment is due, please credit any over payment to IBM Corporation Account No. 09-0447.

  
Duke W. Yee  
Reg. No. 34,285  
**Carstens, Yee & Cahoon, LLP**  
P.O. Box 802334  
Dallas, TX 75380  
(972) 367-2001  
ATTORNEY FOR APPLICANT



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231**

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/430,814	10/29/99	2739	\$856.00	AUS990339US5	0	21	4

DUKE W YEE CARSTENS  
YEE & CAHOON LLP  
POST OFFICE BOX 802334  
DALLAS TX 75380



**Applicant(s)** PETER C BAHRs, AUSTIN, TX; RAPHAEL POOLE CHANCEY, AUSTIN, TX; BARRY ALAN FEIGENBAUM, AUSTIN, TX; MANISH MAHESH MODH, ROUND ROCK, TX; SEAN MICHAEL SUNDBERG, CEDAR PARK, TX; JOHN ALLEN HUBERT WOOLFREY, ONTARIO, CANADA; BARRY ALAN FEIGENBAUM, AUSTIN, TX.

**TITLE**

SEE 1 IN ADDENDUM

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 12/14/99  
TITLE  
SEE 1 IN ADDENDUM Method and Apparatus in a Data Processing  
PRELIMINARY CLASS: 370 System For THE ISSUANCE ~~OF~~ and Delivery  
OF Lightweight Requests To Concurrent  
and Multiple Service Providers.

PRELIMINARY CLASS: 370

### CONTINUING DATA AS CLAIMED BY APPLICANT:

This Application is a divisional of  
09/366,404 Filed August 3, 1999.

DATA ENTRY BY: BLIZZARD, SHARON .L TEAM: 01 DATE: 12/14/99

**\*\*\*\*\***

**(See reverse for new important information)**